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PTO/SB/08a (08-03)

Approved for use through 07/31/2006. OMB 0851-0031

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INFORMATION DISCLOSURE STATEMENT BY APPLICANT <i>(Not for submission under 37 CFR 1.99)</i>	Application Number	10064745
	Filing Date	
	First Named Inventor	
	Art Unit	
	Examiner Name	
	Attorney Docket Number	MLCO.P-002

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Examiner Initial*	Cite No	Patent Number	Kind Code ¹	Issue Date	Name of Patentee or Applicant of cited Document	Pages,Columns,Lines where Relevant Passages or Relevant Figures Appear
	1	4739478		1988-04-19	Roberts	

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INFORMATION DISCLOSURE STATEMENT BY APPLICANT <i>(Not for submission under 37 CFR 1.99)</i>	Application Number	10064745
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	First Named Inventor	
	Art Unit	
	Examiner Name	
	Attorney Docket Number	MLCO.P-002

<i>RA</i>	1	U.S. Bancorp Raises \$1.1 Billion Through Offering of U.S. Bancorp Zero-Coupon Convertible Senior Notes, PR NEswire. New York: Jul. 31, 2001	<input type="checkbox"/>
<i>MA</i>	2	Weinstein, J., Convertibles are Breaking Records, Global Finance. New York: Apr. 2001. Vol. 15, Iss. 4; pg. 50, 2pgs	<input type="checkbox"/>

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Examiner Signature 	Date Considered <i>9/4/06</i>
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Application number 10/476,705

Attorney docket number MLCO.P002NP

REQUEST FOR CONSIDERATION OF INFORMATION DISCLOSURE STATEMENTS

The undersigned received an Office Action dated April 20, 2006.

Five Information Disclosure Statements were filed for which corresponding initialed and signed Forms 1449 were not found in the Office Action. These are:

<i>Date filed</i>	<i>Dated listed in IFW</i>	<i>First listed reference</i>
December 15, 2003	December 15, 2003	Lange US 6321212
January 9, 2004	January 9, 2004	Birle US 20040006520
August 22, 2005	August 22, 2005	Williams WO 2004/081748
March 12, 2006	March 12, 2006	Merrill Lynch Prospectus 2001
March 22, 2006	March 22, 2006	Rudnick WO 03/023554

The undersigned had carefully checked IFW some weeks ago and had confirmed that in fact each of these Information Disclosure Statements was in IFW at the time the Office Action was dated.

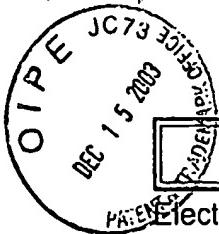
The undersigned has checked the Image File Wrapper system and is likewise unable to find the corresponding initialed and signed Forms 1449 in IFW.

It is requested that the five initialed and signed Forms 1449 be faxed immediately to the undersigned, and that they be immediately be made of record in the official file of the USPTO. It is very important to the undersigned that there be a clear record that the references in these five Information Disclosure Statements were already considered by the Examiner and that any grounds for rejection relating thereto will have already been presented by the Examiner.

Respectfully submitted,

/s/

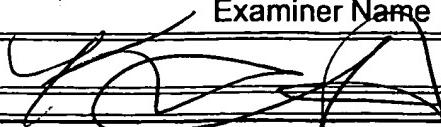
Carl Oppedahl
PTO Reg. No. 32746



ELECTRONIC INFORMATION DISCLOSURE STATEMENT

Electronic Version v18

Stylesheet Version v18.0

Title of Invention	Convertible financial instruments with contingent payments						
Application Number:	10/476705 						
Confirmation Number:	7214						
First Named Applicant:	James Birle						
Attorney Docket Number:	MLCO.P-002-USNP						
Search string:	(6321212 or 20020099640 or 20020147670 or 20030009406 or 20030115128 or 20030163400).pn.						
US Patent Documents							
Note: Applicant is not required to submit a paper copy of cited US Patent Documents							
init	Cite.No.	Patent No.	Date	Patentee	Kind	Class	Subclass
1	1	6321212	2001-11-20	Lange, Jeffrey			
US Published Applications							
Note: Applicant is not required to submit a paper copy of cited US Published Applications							
init	Cite.No.	Pub. No.	Date	Applicant	Kind	Class	Subclass
1	1	20020099640	2002-07-25	Lange, Jeffrey			
2	2	20020147670	2002-10-10	Lange, Jeffrey			
3	3	20030009406	2003-01-09	Ross, Ivan			
4	4	20030115128	2003-06-19	Lange, et al.			
5	5	20030163400	2003-08-28	Ross, et al.			
Signature							
Examiner Name					Date		
					9/24/04		



ELECTRONIC INFORMATION DISCLOSURE STATEMENT

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Stylesheet Version v18.0

Title of Invention	Convertible financial instruments with contingent payments	
Application Number:	10/476705	
Confirmation Number:	7214	
First Named Applicant:	James Birle	
Attorney Docket Number:	MLCO.P-002-USNP	
Search string:	(20040006520).pn.	

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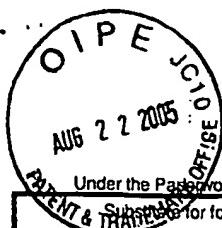
US Published Applications

Note: Applicant is not required to submit a paper copy of cited US Published Applications

init	Cite.No.	Pub. No.	Date	Applicant	Kind	Class	Subclass
1	1	20040006520	2004-01-08	Birle, et al.			

Signature

Examiner Name	Date
	7/24/06



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Substitute for form 1449A/PTO

INFORMATION DISCLOSURE STATEMENT BY APPLICANT

(Use as many sheets as necessary)

<p style="text-align: center;">INFORMATION DISCLOSURE STATEMENT BY APPLICANT <i>(Use as many sheets as necessary)</i></p>				Complete If Known	
Sheet	1	of	1	Application Number	10/476,705
				Filing Date	11/3/2003
				First Named Inventor	Birle, Jr. et al.
				Art Unit	3624
				Examiner Name	Campen, Kelly
				Attorney Docket Number	MLCO.P-002-USNP

U.S. PATENT DOCUMENTS

FOREIGN PATENT DOCUMENTS

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Examiner Initials*	Cite No. ¹	Foreign Patent Document Country Code ³ - Number ⁴ - Kind Code ⁵ (if known)	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear T ⁶
ZA		WO 2004/081748 A2	09-23-2004	Williams et al	
		WO 01/80051 A2	10-25-2001	Kubick et al	
		WO 02/074047 A2	09-26-2002	Lange	
		WO 02/42885 A2	05-30-2002	Andrus et al	
		WO03/013875	02-20-2003	Biré et al	
		WO03/014886A2	02-20-2203	Green et al	
		WO2004/104889A1	12-02-2004	Aberman et al	
		WO 2005/062224 A1	07-07-2005	Redmayne	

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Signature _____ Date
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INFORMATION DISCLOSURE STATEMENT BY APPLICANT <i>(Not for submission under 37 CFR 1.99)</i>	Application Number		10476705
	Filing Date		
	First Named Inventor		
	Art Unit		
	Examiner Name		
	Attorney Docket Number		

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Application Number	10476705
Filing Date	
First Named Inventor	
Art Unit	
Examiner Name	
Attorney Docket Number	

	1	Merrill Lynch Prospectus, January 24, 2001	<input type="checkbox"/>
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Examiner Signature		Date Considered	7/24/00
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Filing Date	
First Named Inventor	
Art Unit	
Examiner Name	
Attorney Docket Number	MLCO.P-002NP

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Examiner Initial*	Cite No	Patent Number	Kind Code ¹	Issue Date	Name of Patentee or Applicant of cited Document	Pages, Columns, Lines where Relevant Passages or Relevant Figures Appear
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	1	WO 03/023554	IB		2003-03-20	RUDNICK		<input type="checkbox"/>

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Examiner Name	
Attorney Docket Number	MLCO.P-002NP

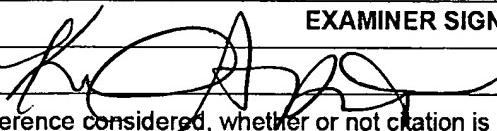
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